

**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

☐ Declaration  
Submitted  
With Initial  
Filing

OR

☒ Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

Attorney Docket Number XPNT19NP

First Named Inventor Benzoni

**COMPLETE IF KNOWN**

Application Number 10/613,226

Filing Date 07/03/2003

Art Unit

Examiner Name

**I hereby declare that:**

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Micro-hermetic packaging of optical devices

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) 07/03/2003

as United States Application Number or PCT International

Application Number 10/613,226 and was amended on (MM/DD/YYYY) n/a (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

This collection of information is required by 37 CFR 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**DECLARATION — Utility or Design Patent Application**Direct all correspondence to: ☒ Customer Number or Bar Cod Label **36394** OR ☐ Correspondence address below

Name

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:**☐ A petition has been filed for this unsigned inventor

Given Name

(first and middle [if any]) Albert M.

Family Name

or Surname Benzoni

Inventor's  
Signature*Albert M. Benzoni*

Date

*8/25/03*

Residence: City

State

Country

Citizenship

South Pasadena

CA

US

US

Mailing Address

Xponent Photonics Inc 425 East Huntington Drive

City

State

ZIP

Country

Monrovia

CA

91016

US

**NAME OF SECOND INVENTOR:**☐ A petition has been filed for this unsigned inventor

Given Name

(first and middle [if any]) Henry A.

Family Name

or Surname Blauvelt

Inventor's  
Signature*Henry A. Blauvelt*

Date

*8/25/03*

Residence: City

State

Country

Citizenship

San Marino

CA

US

US

Mailing Address

Xponent Photonics Inc 425 East Huntington Drive

City

State

ZIP

Country

Monrovia

CA

91016

US

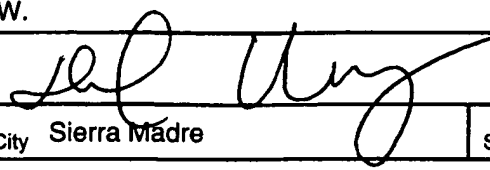



Additional inventors or a legal representative are being named on the 1 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.

**\*COPY\***

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>DECLARATION</b>	<b>ADDITIONAL INVENTOR(S)</b> Supplemental Sheet Page <u>1</u> of <u>1</u>
--------------------	--

<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
David W.		Vernooy	
Inventor's Signature 		Date <u>8-25-03</u>	
Residence: City	Sierra Madre	State	CA
		Country	US
Citizenship CA			
Mailing Address Xponent Photonics Inc 425 East Huntington Drive			
Mailing Address			
City	Monrovia	State	CA
		Zip	91016
		Country	US
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Joel S.		Paslaski	
Inventor's Signature 		Date <u>Aug. 25, 2003</u>	
R sidence: City	Alhambra	State	CA
		Country	US
Citizenship US			
Mailing Address Xponent Photonics Inc 425 East Huntington Drive			
Mailing Address			
City	Monrovia	State	CA
		Zip	91016
		Country	US
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature			
R sid nce: City		State	
		Country	
Citizenship			
Mailing Address			
Mailing Address			
		State	
		Zip	
		Country	

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in compl ting the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

**\*COPY\***

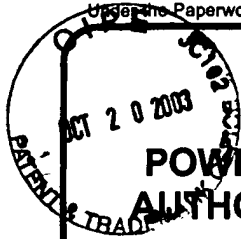
Please type a plus sign (+) inside this box → +

PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**POWER OF ATTORNEY OR  
AUTHORIZATION OF AGENT**

Application Number	10/613,226
Filing Date	07/03/2003
First Name of Inventor	Benconi
Title	Micro-hermetic packaging of optical devices
Group Art Unit	
Examiner Name	
Attorney Docket Number	XPNT19NP

I hereby appoint:

☒ Practitioners at Customer Number
36394 → 
☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number
 →

Place Customer  
Number Bar Code  
Label here

OR

☐ Firm or  
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).
**SIGNATURE of Applicant or Assignee of Record**

Name

Jeffrey S. Rittichier, President and CEO, Xponent Photonics Inc

Signature

Date

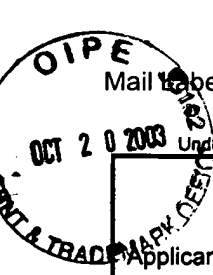
8-15-03

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☐ \*Total of \_\_\_\_\_ forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**\*COPY\***



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Henry A. Blauvelt, David W. Vernooy, and Joel S. Paslaski

Application No./Patent No.: 10/613,226 Filed/Issue Date: 07/03/2003

Entitled: Micro-hermetic packaging of optical devices (Docket No. XPNT19NP)

Xponent Photonics Inc, a corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

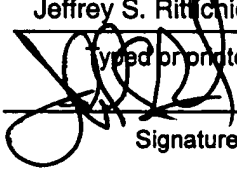
1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.  
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

8/25/03  
Date  
626-599-8660  
Telephone number

Jeffrey S. Rittchier  
Typed printed name  
  
Signature  
President and CEO  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: C ommissioner for Patents, P.O. B ox 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**\*COPY\***

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>ASSIGNMENT OF APPLICATION</b>	Docket Number (Optional) <b>XPNT19NP</b>
----------------------------------	---

Whereas, I/W Albert M. Benzoni of South Pasadena, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Micro-hermetic packaging of optical devices

☒ for which an application for a United States Patent was filed on 07/03/2003  
Application Number 10 / 613,226

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia CA 91016 is desirous of acquiring the entire right, title and interest in the same;


Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 25<sup>TH</sup> day of August, 2003  
at Monrovia, California

State of California,  
County of Los Angeles SS: Albert M. Benzoni

Before me personally appeared said ALBERT M. BENZONI  
and acknowledged the foregoing instrument to be his free act and deed this 25<sup>TH</sup>  
day of August, 2003.

Seal



PAMELA STOCK  
Comm. # 1417500  
NOTARY PUBLIC - CALIFORNIA  
Los Angeles County  
My Comm. Expires May 12, 2007

Pamela Stock  
(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

\* ☒ Total of 4 forms are submitted.

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents and Trademarks, Washington, DC 20231.

\*COPY\*

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>ASSIGNMENT OF APPLICATION</b>	Docket Number (Optional) <b>XPNT19NP</b>
----------------------------------	---

Whereas, I/We, Henry A. Blauvelt of San Marino, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Micro-hermetic packaging of optical devices

☒ for which an application for a United States Patent was filed on 07/03/2003  
Application Number 10 / 613,226

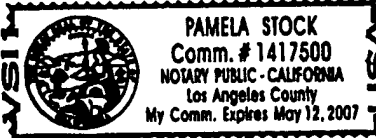
☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 25<sup>TH</sup> day of August, 2003  
at Monrovia, California

State of CALIFORNIA,  
County of Los Angeles SS: Henry A. Blauvelt  
Before me personally appeared said Henry A. Blauvelt and acknowledged the foregoing instrument to be his free act and deed this 25<sup>TH</sup> day of August, 2003.

Seal  Pamela Stock  
(Notary Public)

Note: Signatures of all the inventors or assignees of record or the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

\* ☒ Total of 4 forms are submitted.

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents and Trademarks, Washington, DC 20231.

**\*COPY\***

**ASSIGNMENT OF APPLICATION**

Docket Number (Optional)

XPNT19NP

Whereas, I/We, David W. Vernoooy of Sierra Madre, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Micro-hermetic packaging of optical devices

☒ for which an application for a United States Patent was filed on 07/03/2003

Application Number 10 / 613,226

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia CA 91016 is

desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 15<sup>th</sup> day of August, 2003  
at Monrovia, California

State of California

County of Los Angeles

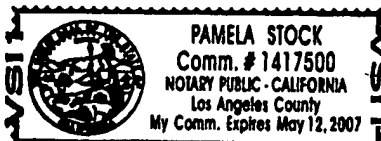
SS:

Before me personally appeared said DAVID W. VERNOOY

and acknowledged the foregoing instrument to be his free act and deed this 15<sup>th</sup>

day of August, 2003

Seal



[Signature]  
(Signature)

Pamela Stock  
(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

\* ☒ Total of 4 forms are submitted.

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**\*COPY\***

**ASSIGNMENT OF APPLICATION**

Docket Number (Optional)

XPNT19NP

Whereas, I/We, Joel S. Paslaski of Alhambra, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Micro-hermetic packaging of optical devices

☒ for which an application for a United States Patent was filed on 07/03/2003

Application Number 10 / 613,226

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 15<sup>TH</sup> day of August, 20 03  
at Monrovia, California

State of CALIFORNIA

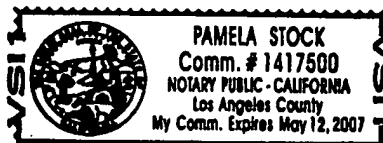
County of Los Angeles

SS:

Before me personally appeared said JOEL PASLASKI

and acknowledged the foregoing instrument to be his free act and deed this 15<sup>TH</sup> day of August, 2003.

Seal



Pamela Stock  
(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

\* ☒ Total of 4 forms are submitted.

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents and Trademarks, Washington, DC 20231.

**\*COPY\***